

Application Checklist

Instructions:

1. Please check each box below, as appropriate; and
2. The completed checklist **must** be submitted as the first page of the CON application.

- ☐ Attached is the CON application filing fee in the form of a certified, cashier or business check made out to the "Treasurer State of Connecticut" in the amount of \$500.

For OHCA Use Only:

Docket No.: _____ Check No.: _____
OHCA Verified by: _____ Date: _____

- ☐ Attached is evidence demonstrating that public notice has been published in a suitable newspaper that relates to the location of the proposal, 3 days in a row, at least 20 days prior to the submission of the CON application to OHCA. (*OHCA requests that the Applicant fax a courtesy copy to OHCA (860) 418-7053, at the time of the publication*)
- ☐ Attached is a paginated hard copy of the CON application including a completed affidavit, signed and notarized by the appropriate individuals.
- ☐ Attached are completed Financial Attachments I and II.
- ☐ Submission includes one (1) original and four (4) hard copies with each set placed in 3-ring binders.

Note: A CON application may be filed with OHCA electronically through email, if the total number of pages submitted is 50 pages or less. In this case, the CON Application must be emailed to ohca@ct.gov.

Important: For CON applications(less than 50 pages) filed electronically through email, the signed affidavit and the check in the amount of \$500 must be delivered to OHCA in hardcopy.

- ☐ The following have been submitted on a CD
1. A scanned copy of each submission in its entirety, including all attachments in Adobe (.pdf) format.
 2. An electronic copy of the documents in MS Word and MS Excel as appropriate.

AFFIDAVIT

Applicant: _____

Project Title: _____

I, _____, _____
(Individual's Name) (Position Title – CEO or CFO)

of _____ being duly sworn, depose and state that
(Hospital or Facility Name)

_____’s information submitted in this Certificate of
(Hospital or Facility Name)

Need Application is accurate and correct to the best of my knowledge.

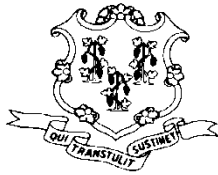
Signature

Date

Subscribed and sworn to before me on _____

Notary Public/Commissioner of Superior Court

My commission expires: _____



State of Connecticut Office of Health Care Access Certificate of Need Application

Instructions: Please complete all sections of the Certificate of Need ("CON") application. If any section or question is not relevant to your project, a response of "Not Applicable" may be deemed an acceptable answer. If there is more than one applicant, identify the name and all contact information for each applicant. OHCA will assign a Docket Number to the CON application once the application is received by OHCA.

Docket Number:

Applicant:

Applicant's Facility ID*:

Contact Person:

**Contact Person's
Title:**

**Contact Person's
Address:**

**Contact Person's
Phone Number:**

**Contact Person's
Fax Number:**

**Contact Person's
Email Address:**

Project Town:

Project Name:

Statute Reference: Section 19a-638, C.G.S.

**Estimated Total
Capital Expenditure:**

*Please provide either the Medicare, Connecticut Department of Social Services (DSS), or National Provider Identifier (NPI) facility identifier.

1. Project Description: Service Termination (Behavioral Health/Substance Abuse)

- a. Provide a narrative detailing the proposal.
- b. For each of the Applicant's services or programs, list the street address and town where the services are provided, the population served, hours of operation, and whether the service/program is proposed for termination.

**TABLE 1
APPLICANT'S SERVICES AND SERVICE LOCATIONS**

Service or Program Name	Street Address, Town	Population Served	Hours of Operation	Proposed for Termination

- c. Provide the service area towns for the Applicant's services and programs that are listed in Table 1

**TABLE 2
SERVICE AREA TOWNS**

Town Name*

*List the official name of town; do not use village or borough names.

- d. Describe the history of the services proposed for termination, including when they were begun and whether CON authorization was received.
- e. Explain in detail the Applicant's rationale for this termination of services and the process undertaken by the Applicant in making the decision to terminate.
- f. Did the proposed termination require the vote of the Board of Directors of the Applicant? If so, provide copy of the minutes (excerpted for other unrelated material) for the meeting(s) the proposed termination was discussed and voted.

2. Termination's Impact on Patients and Provider Community

- a. Identify all existing providers (name, address, services provided, hours and days of operation, and current utilization) of the services proposed for termination in the towns served by the Applicant and in nearby towns.

TABLE 3
SERVICES AND SERVICE LOCATIONS OF EXISTING PROVIDERS

Service or Program Name	Facility ID*	Street Address, Town	Population Served	Hours of Operation	Current Utilization

*Please provide either the Medicare, Connecticut Department of Social Services (DSS), or National Provider Identifier (NPI) facility identifier and label column with the identifier used.

- b. Discuss what steps the Applicant has undertaken to ensure continued access to the services proposed for termination for the Applicant's patients.
- c. For each provider to whom the Applicant proposes to transfer or refer clients, provide the current available capacity, as well as the total capacity and actual utilization for the current year and last completed year.
- d. Identify any special populations that utilize the service(s) and explain how these populations will maintain access to the service following termination at the specific location; also, specifically address how the termination of this service will affect access to care for Medicaid recipients and indigent persons.
- e. What impact will the proposal have upon the cost effectiveness of providing access to services provided under the Medicaid program? If not applicable to the proposal, explain why it is not applicable.
- f. If access to services for Medicaid and/or indigent persons will be reduced as the result of this proposal, can the Applicant show good cause for doing so? *Note: good cause shall not be solely based on the differences in reimbursement rates between Medicaid and other health care payers.*
- g. Provide evidence (e.g. written agreements or memorandum of understanding) that other providers in the area are willing and able to absorb the displaced patients.
- h. Describe how clients will be notified about the termination and transferred to other providers.

3. Historical and Current Utilization Volumes

- a. Report the number of persons served by the applicant during the most recently completed fiscal year ("FY") by town.

TABLE 4
SERVICE VOLUME BY TOWN FOR FISCAL YEAR

Fiscal Year*	
Town	Number of Persons Served

*Fill in years. In a footnote, identify the period covered by the Applicant's FY (e.g. July 1-June 30, calendar year, etc.).

- b. Complete the following table for the past three fiscal years ("FY") and current fiscal year ("CFY"), for both number of visits and number of admissions, by service for each service or program provided.

TABLE 5
HISTORICAL UTILIZATION BY SERVICE/PROGRAM

Service/Program	Fiscal Years			Current FY__**
	FY____*	FY____*	FY____*	
Service/Program Name and Location***				
Total				

*Fill in years. In a footnote, identify the period covered by the Applicant's FY (e.g. July 1-June 30, calendar year, etc.).

**For periods greater than 6 months, report annualized volume, identifying the number of actual months covered and the method of annualizing. For periods less than six months, report actual volume and identify the period covered.

***List each service type and location provided by the Applicant. Provide number of visits and/or number of admissions for each service listed, as appropriate.

- c. Explain any increases and/or decreases in volume seen in the table above.

4. Patient Population Mix by Payer

- a. Provide the current and projected volume (and corresponding percentages) by patient population mix; including, but not limited to, access to services by Medicaid recipients and indigent persons for the proposed program.

TABLE 6
APPLICANT'S CURRENT & PROJECTED PAYER MIX

Payer	Most Recently Completed FY**		Projected					
			FY**		FY**		FY**	
	Volume	%	Volume	%	Volume	%	Volume	%
Medicare*								
Medicaid*								
CHAMPUS & TriCare								
Total Government								
Commercial Insurers								
Uninsured								
Workers Compensation								
Total Non-Government								
Total Payer Mix								

*Includes managed care activity.

**Fill in years. Ensure the period covered by this table corresponds to the period covered in the projections provided.

Note: The patient population mix should be based on patient volumes, not patient revenues.

- b. Provide the basis for/assumptions used to project the patient population mix.
- c. For the Medicaid population only, provide the assumptions and actual calculation used to determine the projected patient volume.
- d. If the proposal fails to provide or reduces access to services by Medicaid recipients or indigent persons, provide explanation for good cause for doing so.
Note: good cause shall not be demonstrated solely on the basis of differences in reimbursement rates between Medicaid and other health care payers.

5. Quality Measures

- a. Submit a list of all key professional, administrative, clinical, and direct service personnel related to the proposal. Attach a copy of their Curriculum Vitae.
- b. Explain how the proposal will improve quality, accessibility and cost effectiveness of health care delivery in the region, including but not limited to, (1)

provision of or any change in the access to services for Medicaid recipients and indigent persons, and (2) the impact upon the cost effectiveness of providing access to services provided under the Medicaid program

- c. Identify when the Applicants' funding and/or licensing agencies (e.g. DPH, DMHAS) were notified of the proposed termination, and when the Applicants' licenses will be returned.
- d. Describe the impact of the proposal on the interests of consumers of health care services and the payers of such services.
- e. Explain how the proposal will improve quality, accessibility and cost effectiveness of health care delivery in the region, including but not limited to, (1) provision of or any change in the access to services for Medicaid recipients and indigent persons, and (2) the impact upon the cost effectiveness of providing access to services provided under the Medicaid program.

6. Organizational and Financial Information

- a. Identify the Applicant's ownership type(s) (e.g. Corporation, PC, LLC, etc.).
- b. Does the Applicant have non-profit status?

☐ Yes (Provide documentation) ☐ No

c. Financial Statements

- i. If the Applicant is a Connecticut hospital: Pursuant to Section 19a-644, C.G.S., each hospital licensed by the Department of Public Health is required to file with OHCA copies of the hospital's audited financial statements. If the hospital has filed its most recently completed fiscal year audited financial statements, the hospital may reference that filing for this proposal.
- ii. If the Applicant is not a Connecticut hospital (other health care facilities): Audited financial statements for the most recently completed fiscal year. If audited financial statements do not exist, in lieu of audited financial statements, provide other financial documentation (e.g. unaudited balance sheet, statement of operations, tax return, or other set of books.)

- d. Submit a final version of all capital expenditures/costs associated with the proposed service to be terminated.

TABLE 7
TOTAL PROPOSAL CAPITAL EXPENDITURE

Purchase/Lease	Cost
Equipment (Medical, Non-medical Imaging)	
Land/Building Purchase*	
Construction/Renovation**	
Land/Building Purchase*	
Other (specify)	
Total Capital Expenditure (TCE)	
Lease (Medical, Non-medical Imaging)***	
Total Capital Cost (TCO)	
Total Project Cost (TCE+TCO)	

*If the proposal involves a land/building purchase, attach a real estate property appraisal including the amount; the useful life of the building; and a schedule of depreciation.

**If the proposal involves construction/renovations, attach a description of the proposed building work, including the gross square feet; existing and proposed floor plans; commencement date for the construction/renovation; completion date of the construction/renovation; and commencement of operations date.

***If the proposal involves a capital or operating equipment lease and/or purchase, attach a vendor quote or invoice; schedule of depreciation; useful life of the equipment; and anticipated residual value at the end of the lease or loan term.

- e. Demonstrate how this proposal will impact the financial strength of the health care system in the state or that the proposal is financially feasible for the applicant.

7. Financial Attachment I

- Provide a summary of revenue, expense, and volume statistics, without the CON project, incremental to the CON project, and with the CON project. **Complete Financial Attachment I.** (Note that the actual results for the fiscal year reported in the first column must agree with the Applicant's audited financial statements.) The projections must include the first three full fiscal years of the project.
- Provide the assumptions utilized in developing **Financial Attachment I** (e.g., full-time equivalents, volume statistics, other expenses, revenue and expense % increases, project commencement of operation date, etc.).
- Was the Applicant being reimbursed by payers for these services? Did reimbursement levels enter into the determination to terminate?

- d. Provide the minimum number of units required to show an incremental gain from operations for each fiscal year.
- e. Explain any projected incremental losses from operations contained in the financial projections that result from the implementation and operation of the CON proposal.
- f. Describe how this proposal is cost effective.